

DEC 27 1999
 U.S. PATENT & TRADEMARK OFFICE

DECLARATION OF PATENT APPLICATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name; I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled "USE OF VEGF-C OR VEGF-D GENE OR PROTEIN TO PREVENT RESTENOSIS," the specification of which (check one): ☐ is attached hereto; ☒ was filed on October 26, 1999 as Application Serial No. 09/427,657. I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

	NONE			Priority Claimed
(Application Serial Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/>	<input type="checkbox"/>
			Yes	No

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below:

<u>60/105,587</u>	<u>26/October/1998</u>
(Application Serial Number)	(Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s) or PCT international application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior application(s) in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

	NONE	
(Application Serial Number)	(Day/Month/Year Filed)	(Status-Patented, Pending or Abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: I hereby appoint as my attorneys, with full powers of substitution and revocation, to prosecute this application and transact all business with the Patent and Trademark Office connected herewith:

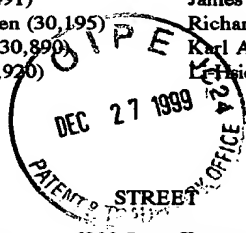
Alvin D. Shulman (19,412)
 Allen H. Gerstein (22,218)
 Nate F. Scarpelli (22,320)
 Edward M. O'Toole (22,477)
 Michael F. Borun (25,447)
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 William E. McCracken (30,195)
 Richard A. Schnurr (30,890)
 Anthony Nimmo (30,920)

Christine A. Dudzik (31,245)
 Jeffrey S. Sharp (31,879)
 Martin J. Hirsch (32,237)
 James J. Napoli (32,361)
 Richard M. La Barge (32,254)
 Karl A. Vick (33,288)
 Christian Rin-Laures, M.D. (33,547)

Douglass C. Hochstetler (33,710)
 Robert M. Gerstein (34,824)
 David W. Clough (36,107)
 Richard A. Brandon (37,051)
 Roger A. Heppermann (37,641)
 David A. Gass (38,153)

Send correspondence to: David A. Gass



FIRM NAME	PHONE NO.	STREET	CITY & STATE	ZIP CODE
Marshall, O'Toole, Gerstein, Murray & Borun	312-474-6300	6300 Sears Tower 233 South Wacker Drive	Chicago, Illinois	60606-6402

1 of 5

Full Name of First or Sole Inventor Kari Alitalo	Citizenship Finland
THIS BOX	Post Office Address - Street Haartman Institute University of Helsinki P.O.B 21 (Haartmaninkatu 3)
INTENTIONALLY LEFT BLANK	City (Zip) Helsinki, 00014
Residence: Espoo, Finland	State or Country: Finland
Date <input checked="" type="checkbox"/>	Signature <input checked="" type="checkbox"/>

2 of 5

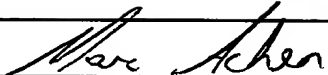
Second Joint Inventor, if any Seppo Ylä-Herttuala	Citizenship Finland
THIS BOX	Post Office Address - Street University of Kuopio A.I. Virtanen Institute P.O. Box 1627
INTENTIONALLY LEFT BLANK	City (Zip) Kuopio, 70211
Residence: Kuopio, Finland	State or Country: Finland
Date <input checked="" type="checkbox"/>	Signature <input checked="" type="checkbox"/>

3 of 5

Third Joint Inventor, if any Mikko O. Hiltunen	Citizenship Finland
THIS BOX	Post Office Address - Street University of Kuopio A.I. Virtanen Institute P.O. Box 1627
INTENTIONALLY LEFT BLANK	City (Zip) Kuopio, 70211
Residence: Kuopio, Finland	State or Country: Finland
Date <input checked="" type="checkbox"/>	Signature <input checked="" type="checkbox"/>

4 of 5

Fourth Joint Inventor, if any Markku M. Jeltsch	Citizenship Germany
THIS BOX	Post Office Address - Street Haartman Institute University of Helsinki P.O.B 21 (Haartmaninkatu 3) Apollonkatu 19A14
INTENTIONALLY LEFT BLANK	City (Zip) Helsinki, 00014
Residence: Helsinki, Finland	State or Country: Finland
Date <input checked="" type="checkbox"/>	Signature <input checked="" type="checkbox"/>

Fifth Joint Inventor, if any Marc G. Achen	Citizenship Australia
THIS BOX	Post Office Address - Street Melbourne Branch of Tumour Biology Ludwig Institute for Cancer Research P.O. Box Royal Melbourne Hospital
INTENTIONALLY LEFT BLANK	City (Zip) Parkville, Victoria 3050
Residence: North Melbourne, Victoria, Australia	State or Country: Australia
Date <input checked="" type="checkbox"/> 10/12/99	Signature <input checked="" type="checkbox"/> 

37 CFR 1.56. DUTY OF DISCLOSURE - INFORMATION MATERIAL TO PATENTABILITY (Applicable Portion)

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
- (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentability defines, to make sure that any material information contained therein is disclosed to the Office.

Information relating to the following factual situations enumerated in 35 USC 102 and 103 may be considered material under 37 CFR 1.56(a).

35 U.S.C. 102. CONDITIONS FOR PATENTABILITY: NOVELTY AND LOSS OF RIGHT TO PATENT

A person shall be entitled to a patent unless --

- (a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for patent, or
- (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of the application for patent in the United States, or
- (c) he has abandoned the invention, or
- (d) the invention was first patented or caused to be patented, or was the subject of an inventor's certificate, by the applicant or his legal representatives or assigns in a foreign country prior to the date of the application for patent in this country on an application for patent or inventor's certificate filed more than twelve months before the filing of the application in the United States, or
- (e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraph (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent, or
- (f) he did not himself invent the subject matter sought to be patented, or
- (g) before the applicant's invention thereof the invention was made in this country by another who had not abandoned, suppressed, or concealed it. In determining priority of invention there shall be considered not only the respective dates of conception and reduction to practice of the invention, but also the reasonable diligence of one who was first to conceive and last to reduce to practice, from a time prior to conception by the other.

35 U.S.C. 103. CONDITIONS FOR PATENTABILITY; NON-OBVIOUS SUBJECT MATTER (Applicable Portion)

A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Subject matter developed by another person, which qualifies as prior art only under subsection (f) or (g) of section 102 of this title, shall not preclude patentability under this section where the subject matter and the claimed invention were, at the time the invention was made, owned by the same person or subject to an obligation of assignment to the same person.

35 U.S.C. 112. SPECIFICATION (Applicable Portion)

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same, and shall set forth the best mode contemplated by the inventor of carrying out his invention.

DECLARATION OF PATENT APPLICATION AND POWER OF ATTORNEY

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As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name; I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled "USE OF VECG-C OR VEGF-D GENE OR PROTEIN TO PREVENT RESTENOSIS," the specification of which (check one): ☐ is attached hereto; ☒ was filed on October 26, 1999 as Application Serial No. 09/427,657. I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. §1.56.

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(Application Serial Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No

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(Application Serial Number)	(Day/Month/Year Filed)	(Status-Patented, Pending or Abandoned)

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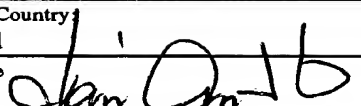
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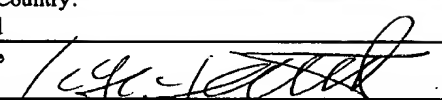
Send correspondence to: David A. Gass

FIRM NAME PHONE NO. STREET CITY & STATE ZIP CODE
Marshall, O'Toole, Gerstein, 6300 Sears Tower
Murray & Borun 312-474-6300 233 South Wacker Drive Chicago, Illinois 60606-6402

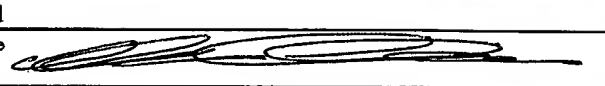
1 of 5

Full Name of First or Sole Inventor Kari Alitalo	Citizenship Finland
THIS BOX	Post Office Address - Street Haartman Institute University of Helsinki P.O.B 21 (Haartmaninkatu 3)
INTENTIONALLY LEFT BLANK	City (Zip) Helsinki, 00014
Residence: Espoo, Finland	State or Country: Finland
Date <input checked="" type="checkbox"/> November 19, 1999	Signature <input checked="" type="checkbox"/> 

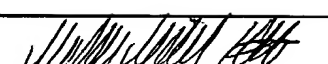
2 of 5

Second Joint Inventor, if any Seppo Ylä-Herttuala	Citizenship Finland
THIS BOX	Post Office Address - Street University of Kuopio A.I. Virtanen Institute P.O. Box 1627
INTENTIONALLY LEFT BLANK	City (Zip) Kuopio, 70211
Residence: Kuopio, Finland	State or Country: Finland
Date <input checked="" type="checkbox"/> Dec 2, 1999	Signature <input checked="" type="checkbox"/> 

3 of 5

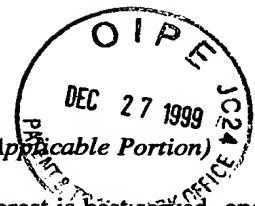
Third Joint Inventor, if any Mikko O. Hiltunen	Citizenship Finland
THIS BOX	Post Office Address - Street University of Kuopio A.I. Virtanen Institute P.O. Box 1627
INTENTIONALLY LEFT BLANK	City (Zip) Kuopio, 70211
Residence: Kuopio, Finland	State or Country: Finland
Date <input checked="" type="checkbox"/> Dec 2, 1999	Signature <input checked="" type="checkbox"/> 

4 of 5

Fourth Joint Inventor, if any Markku M. Jeltsch	Citizenship Germany
THIS BOX	Post Office Address - Street Haartman Institute University of Helsinki P.O.B 21 (Haartmaninkatu 3) Apollonkatu 19A14
INTENTIONALLY LEFT BLANK	City (Zip) Helsinki, 00014
Residence: Helsinki, Finland	State or Country: Finland
Date <input checked="" type="checkbox"/> NOVEMBER 19, 1999	Signature <input checked="" type="checkbox"/> 

Fifth Joint Inventor, if any Marc G. Achen	Citizenship Australia
THIS BOX	Post Office Address - Street Melbourne Branch of Tumour Biology Ludwig Institute for Cancer Research P.O. Box Royal Melbourne Hospital
INTENTIONALLY LEFT BLANK	City (Zip) Parkville, Victoria 3050
Residence: North Melbourne, Victoria, Australia	State or Country: Australia
Date <input checked="" type="checkbox"/>	Signature <input checked="" type="checkbox"/>

APPLICABLE RULES AND STATUTES



37 CFR 1.56. DUTY OF DISCLOSURE - INFORMATION MATERIAL TO PATENTABILITY (Applicable Portion)

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
- (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentability defines, to make sure that any material information contained therein is disclosed to the Office.

Information relating to the following factual situations enumerated in 35 USC 102 and 103 may be considered material under 37 CFR 1.56(a).

35 U.S.C. 102. CONDITIONS FOR PATENTABILITY: NOVELTY AND LOSS OF RIGHT TO PATENT

A person shall be entitled to a patent unless --

- (a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for patent, or
- (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of the application for patent in the United States, or
- (c) he has abandoned the invention, or
- (d) the invention was first patented or caused to be patented, or was the subject of an inventor's certificate, by the applicant or his legal representatives or assigns in a foreign country prior to the date of the application for patent in this country on an application for patent or inventor's certificate filed more than twelve months before the filing of the application in the United States, or
- (e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraph (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent, or
- (f) he did not himself invent the subject matter sought to be patented, or
- (g) before the applicant's invention thereof the invention was made in this country by another who had not abandoned, suppressed, or concealed it. In determining priority of invention there shall be considered not only the respective dates of conception and reduction to practice of the invention, but also the reasonable diligence of one who was first to conceive and last to reduce to practice, from a time prior to conception by the other.

35 U.S.C. 103. CONDITIONS FOR PATENTABILITY; NON-OBVIOUS SUBJECT MATTER (Applicable Portion)

A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Subject matter developed by another person, which qualifies as prior art only under subsection (f) or (g) of section 102 of this title, shall not preclude patentability under this section where the subject matter and the claimed invention were, at the time the invention was made, owned by the same person or subject to an obligation of assignment to the same person.

35 U.S.C. 112. SPECIFICATION (Applicable Portion)

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same, and shall set forth the best mode contemplated by the inventor of carrying out his invention.

**PATENT**

Attorney's Docket No: 28967/35061A

Applicants: Alitalo et al.

Serial No: 09/427,657

Filed: October 26, 1999

For: USE OF VEGF-C OR VEGF-D GENE OR
PROTEIN TO PREVENT RESTENOSIS**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(b)) -- INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 C.F.R. 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled "Use of VEGF-C or VEGF-D Gene or Protein to Prevent Restenosis", described in

- ☐ The specification filed herewith.
- ☒ Application Serial No. 09/427,657, filed October 26, 1999.
- ☐ Patent No. _____, issued _____.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or may be under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization
- ☒ Persons, concerns or organizations listed below*

***NOTE:** *Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).*

FULL NAME: Helsinki University Licensing Ltd. Oy
ADDRESS: Viikinkaari 6, 00710 Helsinki, Finland

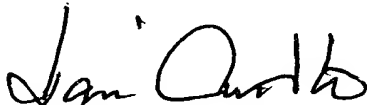
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME: Ludwig Institute for Cancer Research
ADDRESS: 605 Third Avenue, New York, New York 10158

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.



Kari Alitalo

Date: 19.11.1999



Markku M. Jeltsch

Date: 19.11.1999



LND 5581.1-45

PATENT

Attorney's Docket No: 28967/35061A

Applicants: Alitalo et al.

Serial No: 09/427,657

Filed: October 26, 1999

For: USE OF VEGF-C OR VEGF-D GENE OR
PROTEIN TO PREVENT RESTENOSIS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(b)) -- INDEPENDENT INVENTOR**

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I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

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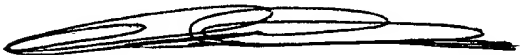
FULL NAME: Seppo Ylä-Herttuala

ADDRESS: University of Kuopio, A.I. Virtanen Institute, P.O. Box 1627,
FIN-70211, Kuopio, Finland

☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.



Mikko O. Hiltunen

Date: Dec 2, 1993



PATENT

Attorney's Docket No: 28967/35061A

Applicants: Alitalo et al.

Serial No: 09/427,657

Filed: October 26, 1999

For: USE OF VEGF-C OR VEGF-D GENE OR
PROTEIN TO PREVENT RESTENOSIS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(b)) -- INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 C.F.R. 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled "Use of VEGF-C or VEGF-D Gene or Protein to Prevent Restenosis", described in

- ☐ The specification filed herewith.
- ☒ Application Serial No. 09/427,657, filed October 26, 1999.
- ☐ Patent No. _____, issued _____.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).


Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or may be under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ No such person, concern, or organization
- ☐ Persons, concerns or organizations listed below*

***NOTE:** *Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).*

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Seppo Ylä-Herttuala

Date: Dec 2, 1999



PATENT

Attorney's Docket No: 28967/35061A

Applicants: Alitalo et al.

Serial No: 09/427,657

Filed: October 26, 1999

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STATUS (37 CFR 1.9(f) and 1.27(b)) -- INDEPENDENT INVENTOR**

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- ☐ Patent No. _____, issued _____.

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Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or may be under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization
- ☒ Persons, concerns or organizations listed below*

***NOTE:** *Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).*

FULL NAME: Ludwig Institute for Cancer Research
ADDRESS: 605 Third Avenue, New York, New York 10158

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Marc Achen
Marc G. Achen

Date:

23/11/99

**PATENT**

Attorney's Docket No: 28967/35061A

Applicants: Applicants: Alitalo et al.

Serial No: 09/427,657

Filed: October 26, 1999

For: USE OF VEGF-C OR VEGF-D GENE OR
PROTEIN TO PREVENT RESTENOSIS**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(d)) -- NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Ludwig Institute for Cancer Research

ADDRESS OF ORGANIZATION: 605 Third Avenue, 33rd Floor
New York, New York 10158
United States of America**TYPE OF ORGANIZATION**

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501 (a) and 501 (c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(NAME OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled "Use of VEGF-C or VEGF-D Gene or Protein to Prevent Restenosis", by inventors Kari Alitalo, Seppo Ylä-Herttuala, Mikko O. Hiltunen, Markku M. Jeltsch, and Marc G. Achen, described in

- ☐ The specification filed herewith.
- ☒ Application Serial No. 09/427,657, filed October 26, 1999.
- ☐ Patent No. _____, issued _____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above-identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization (other than the inventors) having rights in the invention is listed below, and must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME: Helsinki University Licensing Ltd. Oy
ADDRESS: Viikinkaari 6, 00710 Helsinki, FINLAND

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

Edward A. McDermott, Jr.

TITLE IN ORGANIZATION:

President

ADDRESS OF PERSON SIGNING:

605 Third Avenue, 33rd Floor
New York, New York 10158
United States of America

SIGNATURE:

Edward A. McDermott, Jr.

Date:

November 22, 1999



LUD 5581.1-US

PATENT

Attorney's Docket No: 28967/35061A

Applicants: Alitalo et al.

Serial No: 09/427,657

Filed: October 26, 1999

For: USE OF VEGF-C OR VEGF-D GENE OR
PROTEIN TO PREVENT RESTENOSIS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(c)) -- SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ The owner of the small business concern identified below:
- ☒ An official of the small business concern empowered to act on behalf
of the concern identified below:

NAME OF CONCERN Helsinki University Licensing Ltd. Oy

ADDRESS OF BUSINESS Viikinkaari 6, 00710 Helsinki, Finland

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to, and remain with, the small business concern identified above with regard to the invention, entitled "Use of VEGF-C or VEGF-D Gene or Protein to Prevent Restenosis", by inventors Kari Alitalo, Seppo Ylä-Herttuala, Mikko O. Hiltunen, Markku M. Jeltsch, and Marc G. Achen, described in

- ☐ The specification filed herewith.

☒ Application Serial No. 09/427,657, filed October 26, 1999.

☐ Patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each individual (other than the inventors), concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventors, who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

**NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).*

NAME: Ludwig Institute for Cancer Research

ADDRESS: 605 Third Avenue, 33rd Floor, New York, NY 10158

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NAME OF PERSON SIGNING: EIJA PÖYTÄKIVI

TITLE OF PERSON OTHER THAN OWNER: MANAGING DIRECTOR

ADDRESS OF PERSON SIGNING: Viikinkaari 6, 00710 Helsinki, Finland

SIGNATURE:  Date 23 November 1999